U.S. Department of Labor
Employment and Training Administration

Certification Workload and Characteristics of Certified Individuals
Work Opportunity and Welfare-to-Work Tax Credits
Report No. 2

State	Quarter Ending	Persons are not required to respond to this collection of information unless it displays a currently valid OMB control number	OMB Approval No. XXXX XXXX Expiration: MM/DD/YY

PART I. CERTIFICATION WORKLOAD

Certification Requests (System Inputs)

(A) No. of Requests Incomplete	(B) No. of Requests Needing Action	(C) New Requests	(D) Total Requests to be Processed

Certification Actions (System Outputs)

(E) Requests Certified	(F) Requests Denied	(G) No. of Requests Incomplete	(H) No. of Requests Needing Action

PART II. CHARACTERISTICS OF CERTIFIED INDIVIDUALS BY TAX CREDIT

(I) By WOTC Target or Long-Term IV-A Recipient Group	(a) No. of Conditional Certs Resulting in Certifications	No. of Certified Individuals (b) WOTC	(c) WtW only	(d) Dual
1. IV-A Recipient				
2. Veteran				
3. Ex-Felon				
4. High Risk Youth				
5. Voc. Rehab Ref				
6. Summer Youth				
7. Food Stamp Rec				
8. SSI Recipient				
9. Long Term IV-				
10. Total (for quarter)				
11. Total (ytd)				

(J) By Hourly Starting Wage	No. of Certified Individuals (a) WOTC	(b) WtW (including Duals)
12. Under Federal		
13. $5.15 - $5.99		
14. $6.00 - $6.99		
15. $7.00 - $7.99		
16. $8.00 - $8.99		
17. $9.00 and more		
18. Total (for quarter)		

(K) By Occupation	No. of Certified Individuals (a) WOTC	(b) WtW (including Duals)
19. Professional		
20. Clerical		
21. Service		
22. Farms		
23. Processing		
24. Machine Trade		
25. Bench Work		
26. Structural		
27. Misc		
28. Total (for quarter)		

Name and Title of Responsible Official	Signature	Date Signed

Instructions for Preparing ETA Form 9058 - Report No. 2:

ETA Form 9058, Work Opportunity and Welfare-to-Work Tax Credits Workload and Characteristics of Certified Individuals by Tax Credit Report No. 2. PART I. of this report has been redesigned to clarify and simplify data reported on certifications and to indicate DLA/SWA workload during each reporting quarter. Part II. continues to collect data on selected characteristics of individuals with tax credit certifications.

PART I. reports the number of tax credit certification requests received by a DLA/SWA each quarter. *For the purpose of this report, a DLA/SWA receives a tax credit certification request whenever it receives an IRS Form 8850, and the number of IRS Form 8850s it receives indicates system inputs.* PART I. also reports the number of certification requests issued (ETA Form 9063s) and denied. Taken together, these certification actions, issuances and denials, indicate system outputs. *Note, however, that certifications are no longer reported by whether they were generated by an Individual Characteristics Form (ETA Form 9061), nor are data on Self-Identification and Employer Identification reported for certifications generated by ETA Form 9061.*

Report No. 2, now reflects the establishment of a second tax credit, the Welfare-to-Work Tax Credit for certain long-term IV-A recipients, and the resulting possibility of dual certifications, i.e., the eligibility of certain individuals for both the WOTC and the WtW tax credit. Therefore, data on the number of reported for selected characteristics of certified individuals should be reported by tax credit. To minimize SWAs' reporting burden, data on the number of certification requests and certification request denials should be reported as totals. They are not desegregated by tax credit.

This report should be prepared using data from the IRS Form 8850 and/or from matching ETA Forms 9061, 9062, 9063 and letters denying certification requests, as appropriate.

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Clarifications for Quarterly Report No. 2 Instructions
ETA Form 9058

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The following information is provided to clarify those reporting areas that appear to be consistently problematic for some States when completing quarterly Report No. 2, ETA Form 9058. States should follow these instructions carefully and consistently when completing this report.

Part I. CERTIFICATION WORKLOAD

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[Items A, B & C are System Inputs:]

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(1)   *Pending Certification Requests:* Those IRS Form 8850s received in a previous period on which a certification decision has not yet been made, i.e., the certification has neither been issued nor denied.

   Actionable: Employer requests with sufficient information to allow for the state to make a certification determination or for which requests for additional information have been made.

   Non-Actionable: Those IRS Form 8850s, which have no accompanying ETA 9061 or 9062, and for which repeated requests and continued follow-up has failed to secure the needed information. States should only place employer certification requests in this category when they no longer believe there is a reasonable expectation of obtaining the needed information.

(2)   *No. of New Certification Requests:* IRS From 8850s received during the report period.

(3)   *Total Certification Actions to be Processed:* the total number of (A) *Pending Certification Requests* plus (B) *No. of New Certification Requests* minus *Non-Actionables.*

The following formulas should be followed:

$$(A+B) - \text{Non-Actionables} = (C)$$

or

$$[(\text{Actionables}) + (\text{No. of New Cert Actions to be Processed})] = \text{Total Cert Actions}$$

[Items D, E & F are System Outputs]

(4)   ***No. of Certifications Issued:*** Reports the total number during the quarter of the ***Total Certification Actions to be Processed***, that results in the State issuing a certification (e.g., ETA Form 9063 to employers). This number should also include the number of Conditional Certifications **RESULTING** in certifications during the quarter.

(5)   ***No. of Certifications Denied:*** Reports the total number during the quarter of the ***Total Certification Actions to be Processed***, that result in the employer being sent a formal denial during the report period.

(6)   ***No. of Pending Actions:*** Reports the number of ***Total Certification Actions to be Processed***. In other words, certifications on which no decision has been rendered. [The total entered for column (F) becomes part of the next quarter's total for column (A) Pending Cert Requests.] The following formula should be followed:

$$[C - (D + E)] = (F)$$

Part II. CHARACTERISTICS OF CERTIFIED INDIVIDUALS BY TAX CREDIT

Section (1) BY TARGET GROUPS

No. of Conditional Certifications (CC) Resulting in Certifications: The figures entered in this column should not be reflected in any other section(s) of Part II. of this report. These are the certifications issued that result directly from a CC, that is, ETA Form 9062.

No. of Certified Individuals: Please remember, the total (by quarter) in line 10 under the WOTC column should **include** the total number reported under the Dual column. Likewise, the total (by quarter) in line 10 under the WtW column should **include** the total reported under the Dual column. Also, the TOTAL reported under the Dual column should **equal** the TOTAL reported in Part I., Section (D) No. of Certs Issued in the quarter. The following formula should be followed:

(WOTC Certs + WtW Certs) - Dual Certs = No of Certs Issued

Section (2) BY HOURLY STARTING WAGE

WOTC: The total amount of hourly data reported in boxes 12 - 17, in the WOTC column should **equal** the quarterly total in Section (1), line 10, under the WOTC column.

WtW: The total amount of hourly data reported in boxes 12-17, in the WtW column should **equal** the quarterly total in Section (1), line 10, under the WtW column.

Section (3) BY OCCUPATION

WOTC: The total amount of occupational data reported in boxes 18 - 26, in the WOTC column should **equal** the quarterly total in Section (1), line 10 under the WOTC column.

WtW: The total amount of occupational data reported in boxes 18 - 26, in the WtW column should **equal** the quarterly total in Section (1), line 10 under the WtW column.

General Instructions:

Please make sure that the name and title, signature and date sections at the bottom of this form (ETA 9058) are completed. Enter the *ABBREVIATION OR NAME* of your state at the top, left corner of the form and **stop** using numeric codes. Also, please make sure the correct quarter-ending date is entered in this report.